

PROGRAM ANNOUNCEMENT

THE DEPARTMENT OF DEFENSE (DoD)

FISCAL YEAR 2003

**DEFENSE UNIVERSITY RESEARCH INSTRUMENTATION
PROGRAM (DURIP)**

AFOSR BAA 2002-2

FULL PROPOSAL DEADLINE:

Must be received no later than 4:00 p.m. Eastern Daylight Time
Thursday, 22 August 2002

Army Research Office

Office of Naval Research

Air Force Office of Scientific Research

Advanced Technology Development
Directorate, Missile Defense Agency

in cooperation with the Office of
the Deputy Under Secretary of Defense
for Laboratories and Basic Sciences

I. General Information

The Department of Defense (DoD) announces the Fiscal Year 2003 Defense University Research Instrumentation Program (DURIP), as part of the University Research Initiative (URI). DURIP is designed to improve the capabilities of U.S. institutions of higher education (hereafter referred to as “universities”) to conduct research and to educate scientists and engineers in areas important to national defense, by providing funds for the acquisition of research equipment.

1. Funding Opportunity Title – *Fiscal Year 2003 Defense University Research Instrumentation Program (DURIP)*

2. Program Name – *Defense University Research Instrumentation Program*

3. Funding Opportunity Number – AFOSR BAA 2002-2

4. Agency Name(s) – This Department of Defense program will be administered through the Army Research Office (ARO), the Office of Naval Research (ONR), the Air Force Office of Scientific Research (AFOSR), and the office of the Advanced Technology Development Directorate of the Missile Defense Agency (MDA).

5. Agency Contact(s)

Army Research Office, Dave Seitz, (919) 549-4207; FAX, (919) 549-4248;
seitz@aro.arl.army.mil

Office of Naval Research, Paula Barden, (703) 696-4111; FAX, (703) 588-1013;
bardenp@onr.navy.mil

Air Force Office of Scientific Research, Dr. Spencer Wu, (703) 696-7315; FAX, (703) 696-7320; spencer.wu@afosr.af.mil

Missile Defense Agency, Dr. Juergen L. W. Pohlmann, (703) 697-3577; FAX, (703) 695-5694; juergen.pohlmann@mda.osd.mil

6. Instrument Type(s) – Awards will be made by project grants.

7. Catalog of Federal Domestic Assistance (CFDA) Number(s) – 12.630

8. CFDA Title(s) – Basic, Applied, and Advanced Research in Science and Engineering

9. Address to Request Application Package – This announcement contains the material that a potential applicant needs. There is no separate application package.

10. Intergovernmental Review – None

11. Other Information – None

II. Funding Opportunity Description

This announcement seeks proposals to purchase instrumentation in support of research areas of interest to the DoD, including areas of research supported by the administering agencies listed in section I.4. above and other program offices and laboratories of the Army, Navy, Air Force and DoD agencies. The research areas of interest for the administering agencies are available on-line at the following addresses:

Army Research Office:

<http://www.aro.army.mil/> (select “Funding Opportunities”)

See BAA DAAD19-00-R-0010

The help line is available at 919-549-4375

Office of Naval Research:

<http://www.onr.navy.mil/> (select “Science and Technology”)

Air Force Office of Scientific Research:

<http://www.afosr.af.mil/> (select “Research Opportunities”)

Missile Defense Agency (MDA):

<http://www.acq.osd.mil/bmdo/bmdolink/html/>

For detailed information regarding technical goals, potential proposers are advised to consult the announcements cited above and may contact DoD program managers listed therein to explore mutual interest before submitting proposals.

A central purpose of the DURIP is to provide equipment to enhance research-related education. Therefore proposals must address the impact of the equipment on the institution’s ability to educate students, through research, in disciplines important to DoD missions. See evaluation criterion 1-c under Section VI.

III. Award Information

Through this DURIP competition, the DoD intends to award approximately \$45 million for FY 2003, subject to the availability of funds. These funds will be awarded via grants made by ARO, ONR, AFOSR, and MDA (henceforth referred to as “agencies”). Grants will be for the purchase of research equipment costing more than \$50,000, for items that typically cannot be purchased within the budgets of single-investigator awards. DoD funding shall not exceed \$1,000,000 for items costing more than \$1,000,000. In FY 2002, 209 awards totaling \$45 million were made. Awards ranged from \$50,000 to \$1,000,000, averaging \$213,000; very few awards exceeded \$500,000.

Sufficient funds are not available to meet all of the instrumentation needs of the universities. Awards, therefore, will be made to universities conducting, or demonstrably capable of conducting (with the proposed new equipment), research in areas of interest to the DoD.

DURIP awards are typically one year in length.

IV. Eligibility Information

1. Eligible Applicants – This competition is open only to U.S. institutions of higher education, other than federal government, with degree granting programs in science, mathematics and/or engineering.

Proposals are encouraged from historically Black colleges and universities and minority institutions (HBCU/MI), as defined by 10 U.S.C. 2323. Accredited U.S. postsecondary institutions that meet the statutory criteria for identification as minority institutions are listed at the following Department of Education web site: www.ed.gov/offices/OCR/minorityinst.html. However, no funds are specifically allocated for HBCU/MI participation.

2. Cost Sharing – Cost Sharing is not required.

3. Other – DURIP funds will be used for the acquisition of major equipment to augment current or develop new research capabilities to support research in the technical areas of interest to the DoD. Individual proposals may request funding for more than one instrument if the requested pieces comprise a “system” that is used for a common research purpose. Proposals for purely instructional equipment are not eligible. General-purpose computing facilities are not appropriate for DURIP funding, but requests for computers for DoD-relevant research programs are appropriate.

Proposals to purchase instrumentation may request \$50,000 to \$1,000,000. Proposals requesting less than \$50,000 or more than \$1,000,000 will not be considered. DURIP proposals may request partial funding (not to exceed \$1,000,000) for the purchase of instrumentation costing more than \$1,000,000, to the extent that the proposals include firm commitments for the balance of the funding needed to purchase the instrumentation.

See also funding restrictions described Section V.3. There are no limits to the number of applications an applicant may submit.

V. Application and Submission Information

1. Content and Form of Application – The proposal must be complete and self-contained to qualify for review.

The Department of Defense is interested primarily in the research and related science and engineering education that the equipment would facilitate. For this reason, the proposal must adequately describe the goals of the research and research-related education, so that judgments can be made on relevance to DoD goals.

Each proposal should be TYPED, 10-12 POINT, one sided, on 8 1/2 x 11 inch white paper, stapled or bound, and NO LONGER THAN 25 PAGES, ALL INCLUSIVE. The cover is not included in the 25-page limit. Separate attachments, such as institutional brochures or reprints, will not be accepted. Plastic covers or binders should not be used.

The proposal must include the following:

Cover. A completed proposal cover (Appendix B). No other sheets of paper should precede this cover.

The agency whose research interest best matches the research to be facilitated by the

requested instrumentation (see section II. of this full announcement) should be listed on the cover as the “primary reviewing agency.” To assist in directing the proposal to the most appropriate component of that agency for review, also list the most appropriate Division/Directorate/Office (available from the on-line list of research interests cited above) of that agency. A proposal signed by the appropriate university officials and marked “ORIGINAL” along with five copies of the signed original, must be submitted to the primary reviewing agency, as described in Section IV.4 of this announcement.

In some cases, proposed instrumentation and associated research may be relevant to more than one of the participating agencies. In such cases, proposers can request that a proposal be reviewed at more than one agency (but only one DURIP award will be made). To do so, identify on the proposal cover a primary reviewing agency as well as any other reviewing agency having a research area of interest that is addressed directly by the DURIP proposal. The original proposal and five (5) copies must be delivered to the primary reviewing agency and five additional copies of the proposal must be delivered to each of the other reviewing agencies listed on the cover. All copies must indicate all participating agencies receiving the proposal for review.

Abstract. Include a concise (not to exceed 300 words) abstract that describes the instrumentation requested and the research and research-related education that will be supported by that instrumentation.

Budget. Include a budget that identifies equipment to be purchased, cost per item and total cost. Indicate the proposed source of the equipment. Include the name and phone number of a contact at that source or a website address listing the equipment and price. All equipment being requested must be considered part of one “system” costing more than \$50,000, and thus all equipment being purchased must be exempt from indirect costs.

The budget should make clear how DURIP funding will affect the successful and complete purchase of the requested equipment. Relevant information includes details of any other federal funds to be used and any funds to be contributed by nonfederal sources toward the purchase of the instrumentation. For budgeting purposes, presume a grant start date of 1 April 2003, although this is subject to negotiation.

Supporting Information.

Describe how the proposed instrumentation will:

- (a) enhance the quality of research and research-related education currently funded by the DoD (indicate the DoD organization, the contract or grant number, the Principal Investigator, and a paragraph describing the thrust of the research), and/or
- (b) contribute to research and research-related education currently proposed to the DoD (indicate the organization and Principal Investigator of the proposal under consideration, the prospective DoD sponsor, and a paragraph describing the thrust of the research and research-related education), and/or
- (c) establish new research capabilities or enhance current research capabilities for performing research and research-related education in areas of interest to the DoD.

Describe how the proposed instrumentation will interface with existing facilities or upgrade

other instrumentation now available for research and research-related education.

Describe the amounts and sources of ongoing or proposed support for the research and research-related education to be facilitated by the instrumentation.

Describe any special circumstances regarding the acquisition or installation of the equipment.

Indicate the estimated useful life of the equipment.

Include a curriculum vitae for the Principal Investigator and for other senior investigators, which will be counted as part of the 25 page limit.

All awards require certifications of compliance with national policy requirements. Statutes and government wide regulations require some certifications to be submitted at the time of proposal submission rather than at the time of award. Proposers by signing and submitting a proposal and the required cover, Appendix B, are providing the certification at Appendix A to 32 CFR Part 25 regarding debarment, suspension, and other matters; the certification at Appendix C to 32 CFR Part 25 regarding drug-free workplace; and the certification at Appendix A to 32 CFR Part 28 regarding lobbying. Full text of these certifications may be found at: <http://afosr.sciencewise.com/pdfs/March2000assistancecerts1.pdf>. Copies will be provided upon request.

To obtain acknowledgement of receipt of your DURIP proposal, please address Appendix A to the Principal Investigator, affix proper postage, and CLIP TO ORIGINAL COPY OF THE PROPOSAL (do not tape or staple).

2. Submission Dates and Times – Full proposals must be received no later than 4:00 p.m. Eastern Daylight Time on Thursday, 22 August 2002. Proposals received after the above exact time will be processed as follows:

Offeror is responsible for submitting proposal so as to reach the Government office at the stated address by the date and time specified above. Any proposal arriving at the designated Government office after the deadline is “late” and will not be considered for an award, except for the following:

- (a) There is acceptable evidence that, although it was not received in the office stated in the announcement, the proposal was delivered to the designated Government agency by the deadline; or
- (b) The proposal was sent by U.S. Postal Service Express Mail three or more business days prior to the date specified for the receipt of the proposals. The term “business days” excludes weekends and U.S. federal holidays.

In case the operation of the designated Government office is interrupted and the office is unable to receive the proposal, the deadline is extended to the same time of the first day when the office is in operation.

Please note that proposals delivered by commercial carriers are considered “hand carried” and that no exceptions can be made to allow such proposals to be considered if, for any reason, they are received after the deadline. Offerors are advised that some proposals responding to past announcements that were sent via commercial carriers were delayed during shipment and arrived after the deadlines, typically by one or two days. To decrease the probability that proposals

delivered by commercial carriers will arrive after the deadline and thus be ineligible to compete, offerors are encouraged to schedule delivery to occur before the deadline date.

3. Funding Restrictions – Funds provided under DURIP may not be used for the construction or modification of buildings, building support systems (e.g. heating/ventilation/air conditioning, plumbing, and electrical), or fixed equipment (e.g. clean rooms and fume hoods). Proposed budgets may include costs for construction, assembly, and installation of the equipment that are charges for materials and labor from a service organization within the university (e.g., machine shop charges) or from an external contractor. However, the budget may not request funding for direct salaries (e.g., of faculty, postdoctoral associates, students, and technicians). Costs for continued operation and maintenance, including extended warranties, are not eligible for consideration.

4. Other Submission Requirements – Mailing addresses for FY2003 DURIP proposals being submitted to the agencies are:

Use this address for commercial carriers for ARO: Use this address for U. S. mail for ARO:

Army Research Office
ATTN: AMSRL-RO-RI DURIP
4300 South Miami Boulevard
Durham, NC 27703-9142
(919) 549-4207
Point of Contact: Dave Seitz

Army Research Office
ATTN: AMSRL-RO-RI DURIP
P. O. Box 12211
Research Triangle Park, NC 27709-2211

Office of Naval Research
ATTN: Mailroom (DURIP/ONR 363)
800 N. Quincy Street, Room 304
Arlington, VA 22217-5660
(703) 696-4111
Point of Contact: Paula Barden

Air Force Office of Scientific Research
ATTN: NI/DURIP
4040 N. Fairfax Drive, Suite 500
Arlington, VA 22203-1613
(703) 696-7315
Point of Contact: Dr. Spencer Wu

Missile Defense Agency
Advanced Technology Development Directorate
7100 Defense MDA-AT (DURIP)
The Pentagon:
Washington, DC 20301-7100
(703) 697-3577
Point of Contact: Dr. Juergen L. W. Pohlmann

Proposals submitted in whole or in part by electronic media (computer disk or tape, facsimile machine, electronic mail, etc.) will not be accepted.

VI. Application Review Information

1. Criteria – The primary evaluation criteria, of equal importance, are:

a. The impact of the equipment on research currently funded by the DoD and/or the impact on research currently planned for DoD funding and/or the likelihood of the equipment to establish new research capabilities or to enhance current research capabilities that are relevant to DoD areas of research interest.

b. The scientific and technical merits and the relevance and potential contribution to DoD missions of the research to be supported by the proposed instrumentation.

c. The potential to enhance the institution's ability to educate, through the research to be conducted with the proposed equipment, future scientists and engineers in disciplines important to the DoD mission, thereby contributing to DoD research-related educational objectives.

Other evaluation criteria, which are of lesser importance than the primary criteria but of equal importance to each other, are:

d. The past performance, experience, and qualifications of the institution to perform the research, and to operate and maintain the equipment proposed for purchase.

e. The past performance, qualifications, education and experience of the Principal Investigator and other key personnel.

f. Realism and reasonableness of cost. Cost sharing is not an evaluation factor.

2. Review and Selection Process – Proposals will undergo a multi-stage evaluation procedure. First, cognizant DoD research program managers will review proposals received in their technical areas. Second, the most significant proposals will be selected for funding by each agency based upon recommendations by the program managers. Third, the agencies, in coordination with the Office of the Deputy Under Secretary of Defense for Science and Technology, will reconcile any overlap and coordinate complementary efforts so as to ensure the broadest possible impact with the funds available.

3. Anticipated Announcement and Award Dates – Decisions are expected to be announced on or about 1 February 2003, via acceptance/declination letter or e-mail to the proposer. Awards are expected to be in place by 1 April 2003; this must be cited as the start date of the proposal and associated budget. Grants will be awarded by three of the participating agencies – the Army Research Office, Office of Naval Research and Air Force Office of Scientific Research (these three offices also will make awards for the Missile Defense Agency). Negotiations may result in funding levels less than proposed.

VII. Award Administration Information

1. Award Notices – Successful proposers will receive a separate notice (acceptance letter or e-mail as indicated in VI-3) stating that an application has been selected (before the award is in place). The notification letter or e-mail should not be regarded as an authorization to commit or expend funds (except at the recipient's own risk, to the extent that the recipient allows charging to awards of 90 days pre-award costs). Only an award document signed by a Government Grants Officer may bind the Government.

2. Administrative Requirements – In keeping with the provisions of 31 U.S.C. 6306 and with the intent of this program to increase university capabilities to conduct DoD-relevant research and research-related education, title to equipment will be vested with the university without further obligation to the government.

The Army, Navy, and Air Force administering agencies' requirements are available on-line at the following addresses:

ARO - <http://www.aro.army.mil/research/terms99.htm>

ONR - <http://www.onr.navy.mil/02/terms.htm>

AFOSR - <http://afosr.sciencewise.com/oppts/afrfund.htm>

Note that these offices also make awards for the fourth administering agency, the Missile Defense Agency (MDA), so each successful proposal selected for funding by the MDA will result in an award with one of the sets of terms and conditions listed above.

3. Reporting – Financial Report using SF-269 (or SF-272) is required by Part 32 of the DoD Grant and Agreement Regulations (32 CFR part 32). Final technical report is to indicate fulfillment of the proposed objective by the acquisition and use of the instrumentation.

VIII. Other Information – None.

APPENDIX A: ACKNOWLEDGEMENT RECEIPT

Affix
Proper
Postage

Proposing Institutions must affix mailing
label of Principal Investigator and postage

Fold on this line

Date:

Dear Proposer:

Your **FY2003** DURIP proposal has been received by _____

_____ and will be evaluated, Control Number _____

_____ will not be evaluated for the following reason (s):

Announcement of selectees should be made on or about 1 February 2003.

APPENDIX B: PROPOSAL COVER

(Complete and submit with the Proposal)

SUBMITTED TO FY2003 DURIP

(May 2002 Program Announcement)

Proposal No: _____

(To Be Completed by Agency Only)

1. THE PRINCIPAL INVESTIGATOR (one name only):

(Title) (First Name) (MI) (Last Name) (Signature – please use blue ink)

(Phone Number, Including Area Code) (Fax Number) (E-mail address)

(Organization)

(Department/Division)

(Street/P.O. Box)

(City) (State) (Zip Code)

CURRENT DoD CONTRACTOR OR GRANTEE? YES ____ NO ____ If yes, give Agency, Contract Number, Point of Contact, Phone Number:

2. THE PROPOSAL:

(Title of the Proposal)

Total Funds Requested 1-April-03 to _____
From DoD Proposed Date Your Institution's
Proposal Number

Primary reviewing agency and relevant Division/Directorate/Office or technical area/program officer

Other reviewing agency(ies) (and relevant Division/Directorate/Office or technical area) to which the proposal is being submitted

OTHER AGENCIES RECEIVING THIS INSTRUMENTATION FUNDING REQUEST

[e.g., NSF, DOE, NASA, NIH, or other] Please identify agency(ies) and give Name(s) and Phone Number(s) of Point(s) of Contact at those agencies:

3. CERTIFICATIONS: By signing and submitting this proposal, the proposer is providing the certification at Appendix A to 32 CFR Part 25 regarding debarment, suspension, and other matters; the certification at Appendix C to 32 CFR Part 25 regarding drug-free workplace; and the certification at Appendix A to 32 CFR Part 28 regarding lobbying.

4. MINORITY INSTITUTION: _____ Check here if the academic institution named above is qualified to be identified by the Department of Education as a minority institution (i.e., a historically Black college or university, Hispanic-serving institution, Tribal college or university, or other institution meeting statutorily-defined criteria for serving ethnic groups that are underrepresented in science and engineering). The Department of Education maintains the list of U.S. accredited postsecondary institutions that currently meet the statutory criteria for identification as minority institutions at the following web site:
<http://www.ed.gov/offices/OCR/minorityinst.html>

5. THE INSTITUTION

NAME AND ADDRESS OF UNIVERSITY OFFICIAL AUTHORIZED TO OBLIGATE CONTRACTUALLY:

(Title)	(First Name)	(MI)	(Last Name)	(Phone Number, Including Area Code)
Name of Grantee (University)				(Fax Number)
Street Address (P.O. Box Numbers Cannot Be Accepted)				(E-mail address)
(City)	(State)		(Zip Code)	
DUNS + 4 No. ¹ _____				

Signature of Authorized University Official
(Please use blue ink)

¹ The institution's number in the data universal numbering system or DUNS+4 is a unique 13-character identification number for organizations and subsidiaries. Dun & Bradstreet Corporation assigns these numbers. You can receive a DUNS+4 number by calling Dun & Bradstreet at 1(800) 333-0505 or go to the Dun & Bradstreet Web site at <http://www.dnb.com/dunsno/list.htm>. To facilitate payment under any award, the institution must be registered in the Central Contract Registry (CCR). CCR uses the DUNS+4 as a unique identifier for each organization. Information on registering in the CCR may be found at <http://www.ccr.com/> or 1-(888) 227-2423.